

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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| In re Application of: HORROCKS et al. | ) | Examiner: Not yet assigned       |
|                                       | ) |                                  |
| Serial No.: Not yet assigned          | ) | Group Art Unit: Not yet assigned |
|                                       | ) |                                  |
| Filing Date: Herewith                 | ) | Attorney Docket No.: G11.004     |
|                                       | ) |                                  |
| For: METHOD AND SYSTEM FOR            | ) |                                  |
| COMPLETING TRANSACTIONS               | ) |                                  |
| INVOLVING PARTIAL SHIPMENTS           | ) |                                  |
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

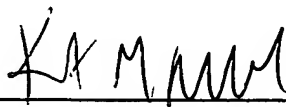
The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

No fee is believed to be due under 37 CFR §1.17(p) for this Information Disclosure Statement since it is being filed concurrently with the above-identified application.

Respectfully submitted,

December 1, 2003  
Date

  
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|----------------------------------------------------------------------------------------------------------------------------------------------|---|----|---|--------------------------|------------------|
| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |   |    |   | <b>Complete if Known</b> |                  |
|                                                                                                                                              |   |    |   | Applicant Number         | Not yet assigned |
|                                                                                                                                              |   |    |   | Filing Date              | Herewith         |
|                                                                                                                                              |   |    |   | First Named Inventor     | HORROCKS, Darin  |
|                                                                                                                                              |   |    |   | Group Art Unit           | Not yet assigned |
|                                                                                                                                              |   |    |   | Examiner Name            | Not yet assigned |
| Sheet                                                                                                                                        | 1 | of | 4 | Attorney Docket Number   | G11.004          |

| U.S. PATENT DOCUMENTS |                       |                      |                                   |                                                 |                                                  |                                                                           |
|-----------------------|-----------------------|----------------------|-----------------------------------|-------------------------------------------------|--------------------------------------------------|---------------------------------------------------------------------------|
| Examiner Initials*    | Cite No. <sup>1</sup> | U.S. Patent Document |                                   | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|                       |                       | Number               | Kind Code <sup>2</sup> (if known) |                                                 |                                                  |                                                                           |
|                       | 1                     | 5,621,201            |                                   | Langhans et al.                                 | 04/15/1997                                       |                                                                           |
|                       | 2                     | 5,724,324            |                                   | Gifford                                         | 03/03/1998                                       |                                                                           |
|                       | 3                     | 5,798,508            |                                   | Walker et al.                                   | 08/25, 1998                                      |                                                                           |
|                       | 4                     | 5,883,810            |                                   | Franklin et al.                                 | 03/16/1999                                       |                                                                           |
|                       | 5                     | 5,991,750            |                                   | Watson                                          | 11/23/1999                                       |                                                                           |
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|                       | 7                     | 6,006,205            |                                   | Loeb et al.                                     | 12/21/1999                                       |                                                                           |
|                       | 8                     | 6,029,890            |                                   | Austin                                          | 02/29/2000                                       |                                                                           |
|                       | 9                     | 6,052,675            |                                   | Checchio                                        | 04/18/2000                                       |                                                                           |
|                       | 10                    | 6,163,771            |                                   | Walker et al.                                   | 12/19/2000                                       |                                                                           |
|                       | 11                    | 6,169,974            |                                   | Baumgartner et al.                              | 12/21/2001                                       |                                                                           |
|                       | 12                    | 6,193,155            |                                   | Walker et al.                                   | 02/27/2001                                       |                                                                           |
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|                       | 14                    | 6,227,447            |                                   | Campisano                                       | 05/08/2001                                       |                                                                           |
|                       | 15                    | 6,324,526            |                                   | D'Agostino                                      | 11/27/2001                                       |                                                                           |
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| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document |                     |                                   | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|                          |                       | Office <sup>3</sup>     | Number <sup>4</sup> | Kind Code <sup>5</sup> (if known) |                                                 |                                                  |                                                                           |                |
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| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet

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of

4

**Complete if Known**

## Application Number

Not yet assigned

**Filing Date**

Herewith

**First Named Inventor**

**HORROCKS, Darin**

## Group Art Unit

Not yet assigned

Examiner Name

Not yet assigned

Attorney Docket Number

**G11.004**

## U.S. PATENT DOCUMENTS

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|                    |                       | Number               | Kind Code <sup>2</sup> (if known) |                                                 |                                                  |                                                                           |
|                    | 17                    | 6,339,766            |                                   | Gephart                                         | 01/15/2002                                       |                                                                           |
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|                    | 19                    | 6,453,296            |                                   | Iwamura                                         | 09/17/2002                                       |                                                                           |
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|                    | 22                    | 2001/0007098         | A1                                | Hinrichs et al.                                 | 07/05/2001                                       |                                                                           |
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|                    | 26                    | 2001/0034702         | A1                                | Mockett et al.                                  | 10/25/2001                                       |                                                                           |
|                    | 27                    | 2001/0034720         | A1                                | Armes                                           | 10/25/2001                                       |                                                                           |
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|                    | 30                    | 2001/0047310         | A1                                | Russell                                         | 11/29/2001                                       |                                                                           |
|                    | 31                    | 2001/0047330         | A1                                | Gephart et al.                                  | 11/29/2001                                       |                                                                           |
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## FOREIGN PATENT DOCUMENTS

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Considered

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet

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| Filing Date            | Herewith         |
| First Named Inventor   | HORROCKS, Darin  |
| Group Art Unit         | Not yet assigned |
| Examiner Name          | Not yet assigned |
| Attorney Docket Number | G11.004          |

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|                    |                       | Number               | Kind Code <sup>2</sup> (if known) |                                                 |                                                  |                                                                           |
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|                    | 35                    | 2001/0051924         |                                   | Uberti                                          | 12/13/2001                                       |                                                                           |
|                    | 36                    | 2002/0007320         | A1                                | Hogan et al.                                    | 01/17/2002                                       |                                                                           |
|                    | 37                    | 2002/0035548         | A1                                | Hogan et al.                                    | 03/21/2002                                       |                                                                           |
|                    | 38                    | 2002/0059146         |                                   | Keech                                           | 05/16/2002                                       |                                                                           |
|                    | 39                    | 2002/0065774         |                                   | Young et al.                                    | 05/30/2002                                       |                                                                           |
|                    | 40                    | 2002/0073045         |                                   | Rubin et al.                                    | 06/13/2002                                       |                                                                           |
|                    | 41                    | 2002/0191646         |                                   | Lake et al.                                     | 07/11/2002                                       |                                                                           |
|                    | 42                    | 2002/0120587         |                                   | D'Agostino                                      | 08/29/2002                                       |                                                                           |
|                    | 43                    | 2002/0133467         |                                   | Hobson et al.                                   | 09/19/2002                                       |                                                                           |
|                    | 44                    | 2003/0018567         |                                   | Flitcroft et al.                                | 01/23/2003                                       |                                                                           |
|                    | 45                    | 2003/0110136         | A1                                | Wells et al.                                    | 06/12/2003                                       |                                                                           |
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|                    | 1                     | WO                      | 99/49424            | A1                                | Flitcroft et al.                                | 09/30/1999                                       |                                                                           |                |
|                    | 2                     | WO                      | 00/49586            |                                   | Flitcroft et al.                                | 08/24/2000                                       |                                                                           |                |
|                    | 3                     | WO                      | 00/62259            | A1                                | Flitcroft et al.                                | 10/19/2000                                       |                                                                           |                |
|                    | 4                     | WO                      | 01/29637            | A2                                | Tsur et al.                                     | 04/26/2001                                       |                                                                           |                |
|                    | 5                     | EP                      | 1 029 311           | B1                                | Flitcroft et al.                                | 06/27/2001                                       |                                                                           |                |
|                    | 6                     | EP                      | 1 115 095           | A2                                | Flitcroft et al.                                | 07/11/2001                                       |                                                                           |                |
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| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |   |    |   | Applicant Number         | Not yet assigned |
|                                                                                                          |   |    |   | Filing Date              | Herewith         |
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|                                                                                                          |   |    |   | Group Art Unit           | Not yet assigned |
|                                                                                                          |   |    |   | Examiner Name            | Not yet assigned |
| Sheet                                                                                                    | 4 | of | 4 | Attorney Docket Number   | G11.004          |

| OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS |                       |                                                                                                                                                                                                                                                                 |                |
|---------------------------------------------------|-----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| Examiner Initials*                                | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                                   | 1                     | Phillips, Stephen: "Case Study – Orbiscom and Cyota", September 5, 2001, download from <a href="http://www.cyota.com/viewCyotaNews.cfm?id=41">http://www.cyota.com/viewCyotaNews.cfm?id=41</a> on 04/24/2002, ©2001, The Financial Times. 2pgs.                 |                |
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